



When Your Broker Calls, Take Notes

(If you don't know the broker, feel free to hang up!)

Make copies of this form to have handy and use it to make notes of conversations with your salesperson or adviser. Be sure to record details of the recommendations you receive and the instructions you give. Keep the notes in your files.

Date: _____ Time: _____
? Call made ? Call received ? Meeting Location: _____
Name of Broker: _____ Phone: _____
Broker's Firm: _____ Phone: _____
Broker's CRD No. _____ ? Obtained CRD Report*



Investment Recommendation

? Buy ? Sell

Name of security: _____

Reasons for recommendation: _____

How does this meet my investment objectives? _____

What are the risks? _____

* Call your securities regulator to obtain the CRD report, which discloses any disciplinary incidents, on your salesperson.

I asked to receive written information about the investment before making a decision?

? Yes ? No

I will get:

- ? a prospectus
- ? an offering memorandum
- ? most recent Annual Report
- ? most recent quarterly or interim reports
- ? recent news releases
- ? research reports
- ? other information

Proposed Trade

Number of shares/units _____

Price per share \$ _____

Total Cost \$ _____

Commission \$ _____

My Instructions

? Do nothing ? Buy ? Sell

Number of shares/units _____

Price \$ _____

If you suspect wrongdoing, please contact the Virginia Division of Securities at 804-371-9051 (Richmond area), 800-552-7945 (Virginia) or write them at PO BOX 1197, Richmond, Virginia 23218.

State Corporation Commission

Division of Securities

PO BOX 1197

Richmond, Virginia 23218

800-552-7945 (in Virginia)

804-371-9051 (Richmond area)

804-371-9206 (TDD Phone)

www.scc.virginia.gov/srf/



Additional Recommendation on Same Date

☐ Buy

☐ Sell



Name of security: _____

Reasons for recommendation: _____

How does this meet my investment objectives? _____

What are the risks? _____

I asked to receive written information about
the investment before making a decision?

☐ Yes

☐ No

I will get:

☐ a prospectus

☐ an offering memorandum

☐ most recent Annual Report

☐ most recent quarterly or interim reports

☐ recent news releases

☐ research reports

☐ other information

Proposed Trade

Number of shares/units _____

Price per share \$ _____

Total Cost \$ _____

Commission \$ _____

My Instructions

☐ Do nothing

☐ Buy

☐ Sell

Number of shares/units _____

Price \$ _____

Notes _____